


Please type a plus sign (+) inside this box → 

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	9-13528-177US
First Inventor	Scott S. PEGRUM
Title	HIGH AVAILABILITY PACKET FORWARDING APPARATUS AND METHOD
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages **23**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **4**]
- Oath or Declaration [Total Pages **1**]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **020988** or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

Name	Ogilvy Renault				
Address					
City		State		Zip Code	
Country		Telephone	613-230-6072	Fax	613-230-6706

Name (Print/Type)	Max R. Wood	Registration No. (Attorney/Agent)	40,388
Signature		Date	12/21/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 942.00

## Complete if Known

Application Number  
Filing Date  
First Named Inventor Scott S. PEGRUM  
Examiner Name  
Group Art Unit  
Attorney Docket No. 9-13528-177US

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

19-5113

Deposit  
Account  
Name

OGILVY RENAULT

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee  
Code (\$) Code (\$) Fee Description

101 740 201 370 Utility filing fee  
106 330 206 165 Design filing fee  
107 510 207 255 Plant filing fee  
108 740 208 370 Reissue filing fee  
114 160 214 80 Provisional filing fee

Fee Paid

740.00

SUBTOTAL (1) (\$ 740.00

### 2. EXTRA CLAIM FEES

Total Claims 29 -20\*\* = 9 X Fee from below 18 = 162.00  
Independent Claims 2 -3\*\* = 0 X = 0.00  
Multiple Dependent = 162.00

Large Entity Small Entity

Fee Fee Fee Fee  
Code (\$) Code (\$) Fee Description

103 18 203 9 Claims in excess of 20  
102 84 202 42 Independent claims in excess of 3  
104 280 204 140 Multiple dependent claim, if not paid  
109 84 209 42 \*\* Reissue independent claims  
over original patent  
110 18 210 9 \*\* Reissue claims in excess of 20  
and over original patent

SUBTOTAL (2) (\$ 162.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65			Surcharge - late filing fee or oath	
127	50	227	25			Surcharge - late provisional filing fee or cover sheet	
139	130	139	130			Non-English specification	
147	2,520	147	2,520			For filing a request for ex parte reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action	
115	110	215	55			Extension for reply within first month	
116	400	216	200			Extension for reply within second month	
117	920	217	460			Extension for reply within third month	
118	1,440	218	720			Extension for reply within fourth month	
128	1,960	228	980			Extension for reply within fifth month	
119	320	219	160			Notice of Appeal	
120	320	220	160			Filing a brief in support of an appeal	
121	280	221	140			Request for oral hearing	
138	1,510	138	1,510			Petition to institute a public use proceeding	
140	110	240	55			Petition to revive - unavoidable	
141	1,280	241	640			Petition to revive - unintentional	
142	1,280	242	640			Utility issue fee (or reissue)	
143	460	243	230			Design issue fee	
144	620	244	310			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Processing fee under 37 CFR 1.17(q)	
126	180	126	180			Submission of Information Disclosure Stmt	
581	40	581	40			Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370			For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370			Request for Continued Examination (RCE)	
169	900	169	900			Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00

## SUBMITTED BY

Name (Print/Type) Max R. Wood Registration No. 40,388 Telephone (613) 230-6072  
Signature Date 12/21/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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# OGILVY RENAULT

December 21, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231  
U.S.A.

Sir:

**Re: New United States Patent Application**  
**Title: HIGH AVAILABILITY PACKET FORWARDING**  
**APPARATUS AND METHOD**  
**Inventor(s): Scott S. PEGRUM *et al.***  
**Assignee: Nortel Networks Limited**  
**Our File: 9-13528-177US MRW:lf**

Transmitted herewith for filing is the patent application of:

**INVENTORS:** Scott S. PEGRUM;  
Matthew M. YUEN; and  
Nabila OULD-BRAHIM

**TITLE OF THE INVENTION:**  
**HIGH AVAILABILITY PACKET FORWARDING APPARATUS**  
**AND METHOD**

The following documents are enclosed:

- a) Utility Patent Application Transmittal PTO/SB/05
- b) Our cheque No. 006926, Fee Transmittal Form PTO/SB/17 (in duplicate), and Patent Application Fee Determination Record PTO/SB/06, covering:

Filing Fee	\$740.00
Recording of Assignment:	\$ 40.00
<b>Total Number of Claims: 29</b>	
Claims in excess of 20 (9 @ \$18):	<u>\$162.00</u>
<b>Total:</b>	<b>\$942.00</b>

Lawyers and patent and trade-mark agents

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Suite 1600  
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Continuing the practices of  
**Meighen Demers**  
**Ogilvy Renault**  
**Swabey Ogilvy Renault**

Montréal • Ottawa • Québec • Toronto • Vancouver • London (England)

- c) Specification/Claims/Abstract
- d) Formal Drawings (4 Sheets - FIGs. 1-4)
- e) Declaration under 37 CFR 1.63  
with Patent Application Data Sheet
- f) Power of Attorney
- g) Assignment in favor of: **Nortel Networks Limited**  
with Recordation Form PTO-1619A
- j) Return receipt postcard.

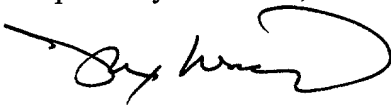
The applicant/inventor(s) qualify for **large** entity status.

Benefit under 35 U.S.C. 119(e) is claimed of United States Provisional Application  
No. 60/279,099 filed on March 27, 2001.

The Commissioner is hereby authorized to charge any additional fees which may be required,  
or credit any overpayment to our Account No. 19-5113.

Please note that the address of the agents for the applicant in this matter should be the  
Montreal address identified in the enclosed Power of Attorney. Correspondence may be  
directed to **Max R. Wood** at the Montreal address of Ogilvy Renault.

Respectfully submitted,



Max R. Wood  
Reg. No. 40,388  
Agent of Record

Encls.

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# PATENT APPLICATION FEE DETERMINATION RECORD

Application or Docket Number

**9-13528-177US**

## CLAIMS AS FILED - PART I

(Column 1)

(Column 2)

SMALL ENTITY

OR  
OTHER THAN  
SMALL ENTITY

FOR	NUMBER FILED	NUMBER EXTRA
BASIC FEE (37 CFR 1.16(a))		
TOTAL CLAIMS (37 CFR 1.16(c))	29 minus 20 = *	9
INDEPENDENT CLAIMS (37 CFR 1.16(b))		minus 3 = *
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))		

RATE	FEE
	\$ _____
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0

RATE	FEE
	\$ 740
x \$ 18 =	162
x 80 =	
+ _____ =	
TOTAL	902

\* If the difference in column 1 is less than zero, enter "0" in column 2

## CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OR  
OTHER THAN  
SMALL ENTITY

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))	*	Minus **	=
Independent (37 CFR 1.16(b))	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	0

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	0

(Column 1)

(Column 2)

(Column 3)

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))	*	Minus **	=
Independent (37 CFR 1.16(b))	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	0

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	0

(Column 1)

(Column 2)

(Column 3)

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))	*	Minus **	=
Independent (37 CFR 1.16(b))	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	0

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	0

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

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